

**IN THE UNITED STATES DISTRICT COURT
FOR THE SOUTHERN DISTRICT OF NEW YORK**

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|---------------------------------------|---|-----------------------------|
| FIDELITY BROKERAGE SERVICES LLC | x | Civil Action No. 15-cv-2210 |
| and NATIONAL FINANCIAL SERVICES, LLC, | x | (Judge Wood) |
| | x | FINRA’S RESPONSE TO |
| Plaintiffs, | x | PLAINTIFFS’ MOTION FOR |
| -against- | x | ORDER TO SHOW CAUSE |
| | x | |
| THE FINANCIAL INDUSTRY REGULATORY | x | |
| AUTHORITY (“FINRA”), PETER E. DEUTSCH | x | |
| and WILLIAM J. DEUTSCH, | x | |
| | x | |
| Defendants. | x | |
| _____ | x | |

Defendant Financial Industry Regulatory Authority, Inc. (“FINRA”) submits this Response to Plaintiffs’ Motion for Order to Show Cause signed by this Court on March 24, 2015.

FINRA’s sole involvement in this matter is that it operates FINRA Dispute Resolution, Inc., the forum in which the underlying arbitration between Plaintiffs and the other named Defendants is pending. Neither FINRA nor the arbitrators have reviewed the disputed documents, and FINRA takes no position on the Motion for Expedited *In Camera* Review. FINRA’s only interest is in complying with the Bank Secrecy Act, and it will abide by this Court’s decision on the disputed documents.

Dated: March 26, 2015
Washington, D.C.

Respectfully submitted,

Financial Industry Regulatory Authority, Inc.

/s/ Terri L. Reicher
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Certificate of Service

I HEREBY CERTIFY that on this 26th day of March 2015, I served the foregoing Response via overnight mail, Federal Express, on:

Mark D. Knoll
Bressler, Amery & Ross
17 State Street
New York, New York 10004

and

David Graff
Anderson Kill & Olick, P.C.
1251 Avenue of the Americas
New York, New York 10020

/s/ Terri L. Reicher
Terri L. Reicher